

4-16-01

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PTO/SB/05 (11-00)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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04/12/01
J1031 U.S. PTO

04/12/01
Jc921 U.S. PTO

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 005029.P018C

First Named Inventor Hartley et al.

Title: Method and Apparatus for Assessing the Security of a Computer System

Express Mail Label No. EL845313456US

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, D. C. 20231

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. Applicant Claims Small Entity Status. (37 CFR 1.27)
3. Specification (Total Pages 32)
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawings(s) (35 USC 113) (Total Sheets 15)
5. Oath or Declaration (Total Pages 4)
 - a. Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 17 completed)
 - i. DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
 - c. Unsigned.
6. Application Data Sheet. (37 CFR 1.76)
7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statement verifying identity of above copies

EXPRESS MAIL CERTIFICATE OF MAILING

*Express Mail Label No. EL845313456US
I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

April 12, 2001

Date of Deposit

April Norvey

Alpha One Mailing Co., Inc. Service

April Norvey

Signature

Date

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & documents(s))
10. a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
 b. Power of Attorney
11. English Translation Document (if applicable)
12. a. Information Disclosure Statement (IDS)/PTO-1449
 b. Copies of IDS Citations
13. Preliminary Amendment
14. Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. Other: Express Mail Certificate

18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

Continuation Divisional Continuation-in-part (CIP)
Of Prior Application No.: 09/333,547 Examiner Miller, C. Group Art Unit 2857

(which is a continuation/ divisional/ CIP of prior application no. _____,
which is a continuation/ divisional/ CIP of prior application no. _____) (List entire chain of priority)

For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

The undersigned states that DMW Worldwide, Inc. (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel No. 010393 Frame No. 0046 (or a copy of which is attached).

19. Correspondence Address

Customer Number or Bar Code Label _____
or _____ (Insert Customer No. or Attach Bar Code Label here)

Correspondence Address Below

NAME Gordon R. Lindeen III
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard
Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (303)740-1980 FAX (303)740-6962

Name (PRINT/TYPE): Gordon R. Lindeen III Registration No.: 33,192

Signature:  Date: 4/12/11

3. ADDITIONAL FEES

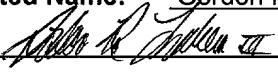
| <u>Large Entity</u> | <u>Small Entity</u> | <u>Fee Description</u> | <u>Fee Paid</u> |
|---------------------------|---------------------|------------------------|--|
| Fee Code | Fee (\$) | Fee Code (\$) | |
| 105 | 130 | 205 | 65 |
| 127 | 50 | 227 | 25 |
| | | | Surcharge - late filing fee or oath |
| | | | Surcharge - late provisional filing fee or cover sheet |
| 139 | 130 | 139 | 130 |
| 147 | 2,520 | 147 | 2,520 |
| 112 | 920* | 112 | 920* |
| | | | Non-English specification |
| | | | For filing a request for ex parte reexamination |
| | | | Requesting publication of SIR prior to Examiner action |
| 113 | 1,840* | 113 | 1,840* |
| | | | Requesting publication of SIR after Examiner action |
| 115 | 110 | 215 | 55 |
| 116 | 390 | 216 | 195 |
| 117 | 890 | 217 | 445 |
| 118 | 1,390 | 218 | 695 |
| 128 | 1,890 | 228 | 945 |
| 119 | 310 | 219 | 155 |
| 120 | 310 | 220 | 155 |
| 121 | 270 | 221 | 135 |
| 138 | 1,510 | 138 | 1,510 |
| 140 | 110 | 240 | 55 |
| 141 | 1,240 | 241 | 620 |
| 142 | 1,240 | 242 | 620 |
| 143 | 440 | 243 | 220 |
| 144 | 600 | 244 | 300 |
| 122 | 130 | 122 | 130 |
| 123 | 130 | 123 | 130 |
| 126 | 180 | 126 | 180 |
| 581 | 40 | 581 | 40 |
| | | | Petition to institute a public use proceeding |
| | | | Petition to revive – unavoidable |
| | | | Petition to revive - unintentional |
| | | | Utility issue fee (or reissue) |
| | | | Design issue fee |
| | | | Plant issue fee |
| | | | Petitions to the Commissioner |
| | | | Petitions related to provisional applications |
| | | | Submission of Information Disclosure Stmt |
| | | | Recording each patent assignment per property (times number of properties) |
| 146 | 710 | 246 | 355 |
| | | | For filing a submission after final rejection (see 37 CFR 1.129(a)) |
| 149 | 710 | 249 | 355 |
| | | | For each additional invention to be examined (see 37 CFR 1.129(b)) |
| 179 | 710 | 279 | 355 |
| 169 | 900 | 169 | 900 |
| | | | Request for Continued Examination (RCE) |
| | | | Request for expedited examination of a design application |
| Other fee (specify) _____ | | | |
| Other fee (specify) _____ | | | |

SUBTOTAL (3) \$0.00

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: Gordon R. Lindeen III

Signature:  Date: 4/12/11

Reg. Number: 33,192 Telephone Number: 303-740-1980

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

jc921 U.S. PTO
09/84334
04/12/01

Serial/Patent No.: _____ Filing/Issue Date Concurrently Herewith

Client: Mundorf USA

Title: Method and Apparatus for Assessing the Security of a Computer System

BSPZ File No.: 055029. P018C

Atty/Secty Initials: SC/AMW

Date Mailed: April 12, 2001

Docket Due Date: _____

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- Amendment/Response (____ pgs.) Express Mail No. EL845313456US Check No. 1407
 Appeal Brief (____ pgs.) (in triplicate) Month(s) Extension of Time Amt: 710.
 Application - Utility (____ pgs., with cover and abstract) Information Disclosure Statement & PTO-144 (____ pgs.) Check No. _____
 Application - Rule 1.53(b) Continuation (32 pgs.) Issue Fee Transmittal Amt: _____
 Application - Rule 1.53(b) Divisional (____ pgs.) Notice of Appeal Petition for Extension of Time
 Application - Rule 1.53(b) CIP (____ pgs.) Petition for _____
 Application - Rule 1.53(d) CPA Transmittal (____ pgs.) Postcard Power of Attorney (____ pgs.)
 Application - Design (____ pgs.) Application - PCT (____ pgs.) Preliminary Amendment (____ pgs.)
 Application - Provisional (____ pgs.) Assignment and Cover Sheet Reply Brief (____ pgs.)
 Assignment and Cover Sheet Certificate of Mailing Response to Notice of Missing Parts
 Certificate of Mailing Declaration & POA (4 pgs.) COPY Small Entity Declaration for Indep. Inventor/Small Business
 Disclosure Docs & Ctg & Copy of Inventor Signed Letter (____ pgs.) Transmittal Letter, in duplicate
 Drawings: 15 # of sheets includes 15 figures Fee Transmittal, in duplicate

Other: Associate Power of Attorney

EL845313456US

"Express Mail" mailing label number: EL845313456US

Date of Deposit: April 12, 2001

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Shelley Warley
(Typed or printed name of person mailing paper or fee)

Shelley Warley
(Signature of person mailing paper or fee)

4/12/01
(Date signed)